

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK**

-----**x**

<b>SECURITIES AND EXCHANGE COMMISSION,</b>	:
	:
	:
<b>Plaintiff,</b>	: <b>19 Civ. 10562 (JPO)</b>
	:
<b>-against-</b>	: <b>ECF CASE</b>
	:
	:
<b>JERRY LI,</b>	:  <b>Defendant.</b>
	:
	:
	<b>x</b>

-----

**PLAINTIFF'S STATUS REPORT**

Pursuant to the Court’s July 30, 2020 Order, Plaintiff Securities and Exchange Commission (“Commission” or “SEC”) respectfully submits this status report regarding its efforts to effectuate service of its Complaint and Summons in this case upon Defendant Jerry Li (“Defendant”), who resides in Shanghai, China. The SEC filed this action on November 14, 2019 and subsequently applied to China to effectuate service on Defendant in China pursuant to the Hague Service Convention for Service Abroad of Judicial or Extrajudicial Documents in Civil or Commercial Matters (“Hague Service”). As explained below, that process is currently ongoing, and the SEC hopes to receive notification from China within the next few months regarding whether it has been able to complete Hague Service on Defendant.

After filing this case — as a prerequisite to submitting a Hague Service application to the Chinese authorities — the SEC first obtained Defendant’s last known home and business addresses in China; a summons from this Court directing service to those addresses; and Chinese translations of the summons and the SEC’s Complaint. The SEC completed those steps by mid-December 2019 and subsequently began the Hague Service application process.

On January 10, 2020, the SEC submitted a Hague Service application fee to the Supreme People's Court of China. The SEC was required to await confirmation of receipt of that fee before proceeding with the application process, and the SEC received that confirmation on or about February 21, 2020. That same day, the SEC completed the application process by sending the China Ministry of Justice International Legal Cooperation Center (“ILCC”) the SEC’s Hague Service application papers for Defendant — including the Complaint and Summons in this case (both the ECF-filed versions and Chinese translations). According to information published on the Hague Service website: “Usually, it takes 4 to 6 months to finish one service [in China]. But this period could be shorter or longer depending on the location of the recipient.”<sup>1</sup> The SEC currently possesses no information regarding whether, or to what extent, the covid-19 pandemic might affect this process.

On June 26, 2020, the SEC emailed the ILCC a request for status update regarding its Hague Service application. On June 28, 2020, the ILCC replied by confirming receipt of the SEC’s Hague Service application and further reporting that, in early April 2020, it had transferred the SEC’s request to the China Supreme Court “for further process.”

On August 18, 2020, the SEC emailed the ILCC a second request for a status update. On August 20, 2020, the ILCC responded in pertinent part: “The [China Supreme] Court has not sent back anything regarding service. Once we have any news, we will let you know.” The SEC has not yet received additional information from the ILCC regarding service on Defendant.

For the foregoing reasons, and in light of the SEC’s past experience regarding Hague Service in China, the SEC hopes to receive notification from the ILCC within the next few

---

<sup>1</sup> This information is available at <https://www.hcch.net/en/states/authorities/details3/?aid=243>, at the “FAQs” link located under “Practical Information.”

months regarding whether China has been able to effectuate Hague Service on Defendant.

Respectfully submitted,

Dated: September 14, 2020  
New York, N.Y.

/s/ Jack Kaufman  
Jack Kaufman  
Liora Sukhatme  
SECURITIES AND EXCHANGE COMMISSION  
New York Regional Office  
200 Vesey Street, Suite 400  
New York, New York 10281-1022  
(212) 336-0106 (Kaufman)  
Attorneys for Plaintiff